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SUBSIDIARY BODY FOR IMPLEMENTATION

REPORT OF THE SUBSIDIARY BODY FOR IMPLEMENTATION ON THE WORK OF ITS SEVENTH SESSION, BONN, 20-29 OCTOBER 1997

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I. OPENING OF THE SESSION
(Agenda item 1)

1. The seventh session of the Subsidiary Body for Implementation (hereinafter referred to as "the SBI") was held at the Beethovenhalle, Bonn, from 20 to 29 October 1997.

2. The Vice-Chairman of the SBI, Mr. José Romero (Switzerland), opened the session at the 1st meeting, on 20 October 1997. In welcoming the participants, he informed delegates that the Chairman of the SBI, Mr. Mahmoud Ould El Ghaouth (Mauritania), was not able to attend this session because of the ill health of a member of his family[1]. He urged delegates to make efficient use of the time allocated and to conclude the negotiations in a timely manner. He further noted that this was the last session of the SBI before the third session of the Conference of the Parties (COP 3) and, therefore, the last opportunity for the SBI to make recommendations for decisions to be adopted by COP 3.

3. The Executive Secretary concurred that the main task of the SBI at its current session, as was the case for the Subsidiary Body for Scientific and Technical Advice (SBSTA), was to reach consensus on recommendations to COP 3 to enable the latter to focus on the completion of the Berlin Mandate. Reviewing certain matters on the SBI agenda, he stressed the need of developing countries for support in preparing their initial national communications and in strengthening national capacities to address climate change. In that connection, he expressed satisfaction at the imminent start-up of a Global Environment Facility (GEF) project to support national communications. The Executive Secretary made known his strong concern at the delays in contributions to the core budget for the current biennium, including from some major contributors, and also appealed for further contributions to the Trust Fund for Participation in time for COP 3. He informed the SBI that the Convention secretariat was preparing for the introduction of the new programme structure and was looking forward to future co-operation with the secretariat of the Convention to Combat Desertification, when it moved to Bonn.

II. ORGANIZATIONAL MATTERS
(Agenda item 2)

4. The SBI considered this item at its 1st meeting, on 20 October. Statements were made by representatives of five Parties, including one speaking on behalf of the Group of 77 and China.

A. Adoption of the agenda
(Agenda item 2 (a))

5. At its 1st meeting, on 20 October, the SBI considered the provisional agenda contained in document FCCC/SBI/1997/17 and Add.1, and adopted the following agenda:

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[1] The Chairman resumed his functions on Monday, 27 October.

1. Opening of the session.

2. Organizational matters:

   (a) Adoption of the agenda;
   (b) Organization of the work of the session.

3. National communications:

   (a) Communications from Parties included in Annex I to the Convention;
   (b) Communications from Parties not included in Annex I to the Convention.

4 Financial mechanism: Review process referred to in decision 9/CP.1.

5 Activities implemented jointly under the pilot phase.

6 Development and transfer of technologies.

7 Arrangements for intergovernmental meetings.

8 Proposed amendments to the Convention.

9 Administrative and financial matters.

10 Mechanisms for consultation with non-governmental organizations (NGOs).

11 Legal matters: Implementation of the Headquarters Agreement.

12 Report on the session.

B. Organization of the work of the session
(Agenda item 2 (b))

6. At its 1st meeting, on 20 October, the Vice-Chairman stated that full conference services would be available from 10 a.m. to 1 p.m. and from 3 p.m. to 6 p.m. on the days allotted to the SBI. The SBI approved the organization of the work as presented by the Vice-Chairman. It was agreed to follow the recommendations on the division of labour between the SBI and the SBSTA that were agreed by both bodies at their sixth sessions, and consequently to allow one body to take overall responsibility in considering an issue. Specific inputs from the other body would be obtained by establishing informal joint working groups. The Vice-Chairman also referred to the documentation before the seventh session, as described in documents FCCC/SBI/1997/17 and Add.1.

7. The Vice-Chairman informed the SBI that applications for observer status from three intergovernmental and 21 non-governmental organizations had been screened by the secretariat

on the basis of the provisions of Article 7.6 of the Convention and in accordance with the procedures established by the COP for the admission of organizations (see document FCCC/SB/1997/INF.4). The SBI agreed to admit these organizations as observers on a provisional basis, pending formal action on their accreditation by the COP at its third session.

C. Attendance

8. The seventh session of the SBI was attended by representatives of 127 Parties and by observers from 6 States not parties to the Convention. It was also attended by representatives of 8 United Nations offices and programmes, 7 specialized agencies, 5 intergovernmental organizations and 122 non-governmental organizations[2].

D. Documentation

9. The documents before the SBI at its seventh session are listed in annex II below.

III. NATIONAL COMMUNICATIONS
(Agenda item 3)

A. Communications from Parties included in Annex I to the Convention
(Agenda item 3 (a))

1. Proceedings

10. The SBI considered this sub-item at its 2nd and 5th meetings, on 21 and 29 October respectively. It had before it the following documents: FCCC/SBI/1997/19 and Add.1, FCCC/SBI/1997/20, FCCC/SBI/1997/INF.4 and INF.6, FCCC/SBSTA/1997/13 and FCCC/SB/1997/6. Statements were made by representatives of eight Parties, including one speaking on behalf of the European Community and its member States.

2. Conclusions

11. At its 5th meeting, on 29 October, the SBI, having considered a proposal by the Vice-Chairman (FCCC/SBI/1997/L.7), adopted the following conclusions:

(a) The SBI took note of the first compilation and synthesis report on the second national communications from Annex I Parties submitted to the secretariat before 15 August 1997 (FCCC/SBI/1997/19 and Add.1). The SBI noted with satisfaction that the information contained in second national communications so far received was, in general, of better quality than in the first ones.

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[2] For the full list of participants, see document FCCC/1997/INF.4.

(b) The SBI took note of the report of the secretariat on the progress made in the review of the first national communications from Annex I Parties and in the submission of second national communications. The SBI urged those Annex I Parties whose second national communications were overdue to submit them as soon as possible.

(c) The SBI took note of document FCCC/SBI/1997/INF.4 on the progress achieved by Annex I Parties in returning, individually or jointly, their GHG emissions to 1990 levels by 2000. It noted that additional efforts would be needed by many of those Parties to achieve such returns.

(d) The SBI requested the secretariat to evaluate the feasibility of compiling and maintaining available supplementary data from authoritative sources on GHG emissions for the purpose of comparison with the national submissions and to present a report on this comparison to its ninth session. It also requested the secretariat to make available each Party's annual emission inventories on the secretariat's Web site.

(e) The SBI expressed its intention to perform an interim assessment of the in-depth reviews of second national communications for its ninth session and requested the secretariat to provide relevant information, including recommendations and suggestions to improve the process.

(f) The SBI noted with regret that insufficient responses from Annex I Parties did not allow presentation of the schedule of in-depth reviews of second national communications at its current session. It urged Annex I Parties to provide the secretariat with information on the proposed dates of in-depth reviews, with a view to finalizing the schedule before the third session of the Conference of the Parties.

(g) The SBI endorsed further initiatives of the secretariat to increase participation of experts from non-Annex I Parties in the review process, in particular those experts who were likely to be involved in the preparation of a national communication.

(h) Having received an input from the SBSTA, the SBI decided to recommend, for adoption by the Conference of the Parties at its third session, a draft decision on national communications from Annex I Parties (for the text of the draft decision, see annex I below).

B. Communications from Parties not included in Annex I to the Convention
(Agenda item 3 (b))

1. Proceedings

12 The SBI considered this sub-item at its 1st and 5th meetings, on 20 and 29 October respectively. It had before it the following documents: FCCC/SBI/1997/INF.3; FCCC/SBI/1997/MISC.8 and FCCC/CP/1997/MISC.1. Statements were made by representatives of eight Parties, including one speaking on behalf of the European Community and its member States.

2. Conclusions

13. At its 5th meeting, on 29 October, the SBI, having considered a proposal by the Vice-Chairman (FCCC/SBI/1997/L.8), adopted the following conclusions on this sub-item:

(a) The SBI decided to continue its deliberations on a process for considering initial national communications from non-Annex I Parties with a view to recommending a decision to the Conference of the Parties at its fourth session.

(b) The SBI requested the secretariat:

(i) To organize a workshop on a process for considering initial national communications from non-Annex I Parties, to be held prior to the eighth session of the SBI, with the aim of assisting deliberations on the matter in the light of submissions of those initial national communications received by the secretariat by that time;

(ii) To include, in its regular report to the SBI on the activities of the secretariat to facilitate the provision of financial and technical support to non-Annex I Parties for the preparation of initial national communications, its observations on the initial national communications submitted by non-Annex I Parties by 30 March 1998; and

(iii) To make available a compilation of comments by Parties on the Co-chairs' draft compilation which was transmitted for further consideration at the workshop and by the SBI at its eighth session (for the text of the Co-chairs' draft compilation, see the appendix below). Parties were invited to submit those comments to the secretariat prior to 21 March 1998.

IV. FINANCIAL MECHANISM: REVIEW PROCESS REFERRED TO IN DECISION 9/CP.1

(Agenda item 4)

1. Proceedings

14. The SBI considered this item at its 2nd and 5th meetings, on 21 and 29 October respectively. It had before it the following documents: FCCC/SBI/1997/16; FCCC/SBI/1997/MISC.9 and FCCC/CP/1997/MISC.1. Statements were made by representatives of six Parties, including one speaking on behalf of the European Community and its member States and one speaking on behalf of the Group of 77 and China.

2. Conclusions

15. At its 5th meeting, on 29 October, the SBI, having considered a proposal by the Vice-Chairman (FCCC/SBI/1997/L.9), decided to recommend, for adoption by the Conference of the Parties at its third session, a draft decision on the review of the financial mechanism and a

draft decision on the annex to the Memorandum of Understanding (for the texts of these draft decisions, see annex I below).

V. ACTIVITIES IMPLEMENTED JOINTLY UNDER THE PILOT PHASE
(Agenda item 5)

1. Proceedings

16. The SBI considered this item at its 1st and 5th meetings, on 20 and 29 October respectively. Statements were made by representatives of 13 Parties, including one speaking on behalf of the European Community and its member States.

2. Conclusions

17. At its 5th meeting, on 29 October, the SBI decided, on the proposal of the Chairman, to adopt the following conclusions, which had been prepared in a joint working group of the SBI and the SBSTA and had already been adopted by the SBSTA.

(a) The SBSTA and the SBI took note of the synthesis report by the secretariat on activities implemented jointly (FCCC/SBSTA/1997/12 and Corr.1 and 2, and Add.1) as well as of the concise update containing preliminary findings with regard to work on methodological issues (FCCC/SBSTA/1997/INF.3).

(b) The SBSTA and the SBI decided to forward this synthesis report to the Conference of the Parties for its consideration.

(c) The SBSTA invited Parties participating in the pilot phase of activities implemented jointly to note that the deadline for the submission of reports to be taken into account in the synthesis report for the fourth session of the Conference of the Parties was 30 June 1998.

(d) The SBSTA and the SBI decided to recommend a draft decision on activities implemented jointly under the pilot phase for adoption by the Conference of the Parties at its third session (for the text of the draft decision, see document FCCC/SBSTA/1997/14, annex I).

VI. DEVELOPMENT AND TRANSFER OF TECHNOLOGIES
(Agenda item 6)

1. Proceedings

18. The SBI considered this item at its 1st and 5th meetings, on 20 and 29 October respectively. Statements were made by representatives of two Parties.

2. Conclusions

19. At its 5th meeting on 29 October, the SBI, having considered inputs from the joint working group established by the SBI and the SBSTA, decided to recommend, for adoption by the Conference of the Parties at its third session, a draft decision on the development and transfer of technologies (for the text of the draft decision, see document FCCC/SBSTA/1997/14, annex I). This draft decision had already been agreed by the SBSTA.

VII. ARRANGEMENTS FOR INTERGOVERNMENTAL MEETINGS
(Agenda item 7)

1. Proceedings

20. The SBI considered this item at its 3rd and 4th meetings, on 22 and 27 October respectively. It had before it the following documents: FCCC/SBI/1997/17/Add.1 and FCCC/CP/1997/1. Statements were made by representatives of 12 Parties, including one speaking on behalf of the European Community and its member States and one speaking on behalf of the Group of 77 and China.

21. At the 3rd meeting, on 22 October, commenting on a proposal to draw up a list of points on which the high-level segment at COP 3 could focus, including one that would throw light on the "way forward", the Executive Secretary sought to distinguish between two types of process that could be carried out after COP 3. The first, which was still controversial, was a process opening up the perspective of negotiations of new commitments under the Convention. The second, which should not be controversial, was a process that would prepare for the decisions to be taken by the first meeting of the Parties to the protocol or other legal instrument adopted at COP 3. It was the latter post-Kyoto process that the secretariat had in mind in providing for a contingency in the programme budget for 1998-1999.

22. It was noted that there were divergent views on this matter.

23. At the 4th meeting, on 27 October, the Executive Secretary reported that the Convention secretariat and the Government of Japan had succeeded in reaching a mutually acceptable understanding on arrangements for the third session of the Conference of the Parties at Kyoto. He recalled that the question of the legal character of the Conference of the Parties and its secretariat, and the related question of privileges and immunities to be enjoyed by participants in Convention bodies meeting away from the seat of the secretariat, needed to be addressed by the Conference of the Parties in due course.

24. At the same meeting, the representative of Japan expressed his Government's satisfaction that it would now be possible to proceed to conclude final arrangements for the third session of the Conference of the Parties at Kyoto. Japan had hosted a large number of international conferences held under the auspices of the United Nations, and every effort would be made to ensure the success of the Kyoto Conference. His Government and the people of Japan, and in

particular the people of Kyoto, were eagerly awaiting the opportunity to welcome participants to the third session of the Conference of the Parties.

2. Conclusions

Third session of the Conference of the Parties

25. At its 4th meeting, on 27 October, the SBI, on the proposal of the Chairman, adopted the following conclusions:

(a) The SBI reiterated its gratitude to the Government and the people of Japan for offering to host the third session of the Conference of the Parties at Kyoto and expressed its appreciation for the interest shown in the Conference by the local authorities and citizens of Kyoto.

(b) The SBI noted the statement made by the Executive Secretary on the understanding reached between the Government of Japan and the convention secretariat on arrangements for the third session of the Conference of the Parties.

(c) The SBI requested the Executive Secretary to conclude arrangements with the Government of Japan on the basis of that understanding.

Fourth session of the Conference of the Parties

26. At its 4th meeting, on 27 October, the SBI, having considered a proposal by the Chairman (FCCC/SBI/1997/L.10), decided to recommend, for adoption by the Conference of the Parties at its third session, a draft decision on the fourth session of the Conference of the Parties (for the text of the draft decision, see annex I below). This recommended draft decision supersedes that contained in document FCCC/SBI/1997/16, annex V.

VIII. PROPOSED AMENDMENTS TO THE CONVENTION
(Agenda item 8)

1. Proceedings

27. The SBI considered this item at its 2nd and 4th meetings, on 21 and 27 October respectively. It had before it document FCCC/SBI/1997/15. Statements were made by representatives of 14 Parties, including one speaking on behalf of the European Community and its member States.

2. Conclusions

28. At its 2nd meeting, on 21 October, the SBI, after considering the proposals containing amendments to the Convention, invited the Conference of the Parties at its third session to take into account the views expressed by Parties during its seventh session.

29. At its 4th meeting, on 27 October, the SBI decided to recommend to the Conference of the Parties that the proposed amendments should be taken up in the order in which they had been received by the secretariat.

IX. ADMINISTRATIVE AND FINANCIAL MATTERS
(Agenda item 9)

1. Proceedings

30. The SBI considered this item at its 3rd and 5th meetings, on 22 and 29 October respectively. It had before it the following documents: FCCC/SBI/1997/17/Add.1 and FCCC/CP/1997/1. Statements were made by representatives of three Parties, including one speaking on behalf of the European Community and its member States.

2. Conclusions

31. At its 5th meeting, on 29 October, the SBI, having considered a proposal by the Chairman (FCCC/SBI/1997/L.11), decided to recommend, for adoption by the Conference of the Parties at its third session, a draft decision on the financial performance of the Convention in the biennium 1996-1997 and a draft decision on arrangements for administrative support to the Convention secretariat (for the texts of these draft decisions, see annex I below).

X. MECHANISMS FOR CONSULTATION WITH NON-GOVERNMENTAL ORGANIZATIONS
(Agenda item 10)

1. Proceedings

32. The SBI considered this item at its 3rd meeting, on 22 October. It had before it document FCCC/SBI/1997/MISC.7. Statements were made by representatives of five Parties, including one speaking on behalf of the European Community and its member States.

2. Conclusions

33. At the same meeting, the SBI, on the proposal of its Vice-Chairman, took note of document FCCC/SBI/1997/MISC.7 and, taking account of views expressed at its seventh session, decided to consider this issue at its eighth session. It further requested the secretariat to advise the SBI on the elements in other United Nation procedures which could be relevant to the

development of procedures on the participation of non-governmental organizations in the Convention process.

XI. LEGAL MATTERS: IMPLEMENTATION OF THE HEADQUARTERS AGREEMENT
(Agenda item 11)

1. Proceedings

34. The SBI considered this item at its 3rd and 5th meetings, on 21 and 29 October respectively.

2. Conclusions

35. At its 5th meeting, on 29 October, the SBI took note of the entry into force of the Headquarters Agreement on 22 October 1997.

XII. REPORT ON THE SESSION
(Agenda item 12)

36. At its 5th meeting, on 29 October, the SBI approved the draft report on the work of its seventh session, as contained in documents FCCC/SBI/1997/L.6 and FCCC/SBI/1997/CRP.9, and as orally amended. It authorized its Rapporteur, in consultation with the Chairman and with the assistance of the secretariat, to finalize the report as appropriate.

XIII. CLOSURE OF THE SESSION

37. In closing the session, the Chairman noted that this was his last meeting as Chairman of the SBI. He emphasized the importance of the contribution made by the SBI, since its inception, to advance the Convention process, and thanked delegations for their constructive co-operation throughout his term of office.

38. Closing statements were made by the representatives of the United Republic of Tanzania (on behalf of the Group of 77 and China), Luxembourg (on behalf of the European Community and its member States) and the United States of America, in which tribute was paid to the Chairman for the part he had played in guiding the work of the SBI.

39. The Executive Secretary made a statement conveying the sincere appreciation of the secretariat to both the Chairman of the SBI and the Chairman of the SBSTA for the leadership they had shown, individually and jointly, in establishing constructive methods of work in the two subsidiary bodies.

Annex I

Draft decisions recommended by the Subsidiary Body for Implementation for adoption by the Conference of the Parties at its third session

Draft decisions recommended by the SBI at its sixth session*

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* The texts of these draft decisions were originally contained in document FCCC/SBI/1997/16, annexes II - IV. A number of editorial adjustments have been made.

Draft decisions recommended by the SBI at its sixth session

1. **Decision --/CP.3**

Division of labour between the Subsidiary Body for Implementation and the Subsidiary Body for Scientific and Technological Advice

The Conference of the Parties,

Recalling Articles 9 and 10 of the United Nations Framework Convention on Climate Change,

Recalling also its decision at its second session that the question of the division of labour between the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation should be taken up by the Conference of the Parties at its third session on the basis of recommendations made to it by the Chairmen of the two subsidiary bodies (FCCC/CP/1996/15/Add.1, section III, 4),

Having considered the recommendations made by the Chairmen, through the conclusions of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation, as included in the reports of their sixth sessions,

Desiring to elaborate further the division of labour between the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation,

1. *Reaffirms* that the division of labour is governed by Articles 9 and 10 of the Convention, and by decision 6/CP.1 and other relevant decisions of the Conference of the Parties;

2. *Recalls* that, as indicated in decision 6/CP.1, the role of the subsidiary bodies can be broadly characterized as follows:

(a) The Subsidiary Body for Scientific and Technological Advice will be the link between the scientific, technical and technological assessments and the information provided by competent international bodies, and the policy-oriented needs of the Conference of the Parties;

(b) The Subsidiary Body for Implementation will develop recommendations to assist the Conference of the Parties in its review and assessment of the implementation of the Convention and in the preparation and implementation of its decisions;

3. *Decides* that the consideration of issues which are pertinent to both bodies should take place in a way which is efficient in the use of time during meetings, in order to avoid confusion and to reduce the overall workload. Therefore, in general, one of the bodies will take the overall responsibility in considering an issue. If necessary, it will request adequate and specific inputs from the other body. Where overall responsibility is not assigned, agendas should be organized to ensure that the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation avoid dealing with such issues in parallel sessions. On issues where this is not possible, consideration should be given to holding ad-hoc joint sessions of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation. On this basis, the provisions above are clarified as follows:

National communications from Parties

(a) The Subsidiary Body for Implementation will have the overall responsibility for:

(i) Developing guidelines on the processes for consideration of national communications;

(ii) Considering the information contained in national communications, other relevant documentation and compilation and synthesis reports, with a view to assisting the Conference of the Parties in undertaking its tasks under Article 7.2(e) of the Convention;

(b) In co-operation with the Subsidiary Body for Implementation, the Subsidiary Body for Scientific and Technological Advice will have responsibility for:

(i) Developing guidelines for the provision of comparable information, including all related methodological issues;

(ii) Considering, upon the request of the Subsidiary Body for Implementation, as appropriate, national communications and other relevant documentation, such as technical papers, with the aim of, *inter alia*, verifying methodologies used and making recommendations on their refinement, preparing scientific assessments on the effects of measures taken in the implementation of the Convention, reviewing projections and their assumptions, and assessing the comprehensiveness and effectiveness of mitigation and adaptation measures;

Development and transfer of technology

(c) The Subsidiary Body for Implementation will, with inputs from the Subsidiary Body for Scientific and Technological Advice as appropriate, have responsibilities for assisting the Conference of the Parties in the assessment and review of the effective implementation of the Convention with respect to the development and transfer of technology;

(d) As stipulated in the Convention, and as decided by the Conference of the Parties in decision 6/CP.1, the Subsidiary Body for Scientific and Technological Advice will have responsibility for providing advice on all scientific, technological and methodological aspects of the development and transfer of technology;

Consultations with non-governmental organizations

(e) Taking into account the competence of each subsidiary body, the Subsidiary Body for Implementation will have overall responsibility for all policy questions and relevant inputs related to issues dealing with consultation with non-governmental organizations, as appropriate;

(f) Should the Subsidiary Body for Scientific and Technological Advice or any other subsidiary body feel that non-governmental organizations could provide relevant inputs on an item being considered, that body could seek and consider such inputs;

(g) Provisional accreditation of individual non-governmental organizations will be the responsibility of the body concerned;

Activities implemented jointly

(h) The Subsidiary Body for Scientific and Technological Advice will have the responsibility for:

(i) Developing the framework for reporting, including consideration of scientific, technical and methodological aspects of the reports;

(ii) Preparing a synthesis report of activities for the Conference of the Parties;

(i) The Subsidiary Body for Implementation will have the responsibility for assisting the Conference of the Parties with reviewing the progress of the activities implemented jointly under the pilot phase, on the basis of inputs by the Subsidiary Body for Scientific and Technological Advice;

Research and systematic observation

(j) In accordance with Article 5 of the Convention, the Subsidiary Body for Scientific and Technological Advice will have the overall responsibility for issues related to research and systematic observation, drawing, where necessary, upon the Subsidiary Body for Implementation. The Subsidiary Body for Scientific and Technological Advice will also play a co-ordinating role in such activities related to climate change relevant to the implementation of the Convention;

(k) The Subsidiary Body for Implementation, with inputs from the Subsidiary Body for Scientific and Technological Advice as appropriate, will have the responsibility for assisting the

Conference of the Parties in the assessment and review of the effective implementation of the Convention with respect to research and systematic observation;

Education, training and public awareness

(l) In further clarification of decision 6/CP.1, the Subsidiary Body for Scientific and Technological Advice will have the overall responsibility for providing advice on educational, training and public awareness programmes, as well as public access to information. When considering such issues, the Subsidiary Body for Scientific and Technological Advice will draw upon, *inter alia*, relevant international organizations;

(n) The Subsidiary Body for Implementation, with inputs from the Subsidiary Body for Scientific and Technological Advice as appropriate, will have responsibility for assisting the Conference of the Parties in the assessment and review of the effective implementation of the Convention with respect to education, training, and public awareness.

2 **Decision --/CP.3**

Programme budget for the biennium 1998-1999

The Conference of the Parties,

Recalling paragraph 4 of the financial procedures for the Conference of the Parties,

Having considered the proposed budget for the biennium 1998-1999 submitted by the Executive Secretary (FCCC/SBI/1997/10),

Noting the annual contribution of the host Government, DM 1.5 million, which offsets planned expenditures,

1. *Approves* the programme budget for the biennium 1998-1999, amounting to US$18,730,300, for the purposes specified in table 1 below;

2. *Approves* the staffing table for the programme budget, including the post of the Executive Secretary at the level of Assistant Secretary General and two other senior posts at the level of D-2, as contained in table 2 below;

3. *Approves* a contingency budget for conference servicing, amounting to US$ 5,184,900, to be added to the programme budget for the coming biennium in the event that the General Assembly of the United Nations decides not to provide resources for these activities in the regular United Nations budget for the biennium 1998-1999 (see table 3 below);

4. [*Decides* to incorporate in the programme budget for the biennium 1998-1999 approved under paragraph 1 above, and the staffing table approved under paragraph 2 above, the resources for a post-Kyoto intergovernmental process contingent upon the decision by the Conference of the Parties at its third session to that effect, and as agreed by the Subsidiary Body for Implementation at its sixth session, amounting to US$ 840,400 (see table 5 below).]

5. *Requests* the Executive Secretary to report to the Subsidiary Body for Implementation at its eighth session on the implementation of paragraph 3 above;

6. *Authorizes* the Executive Secretary to make transfers, between each of the main appropriation lines set out in table 1, up to an aggregate limit of 15 per cent of total estimated expenditure for those appropriation lines, provided that a further limitation of up to minus 25 per cent of each such appropriation line shall apply;

7. *Decides* to maintain the level of the working capital reserve at 8.3 per cent of the estimated expenditure;

8. *Invites* all Parties to the Convention to note that contributions to the core budget are due on 1 January of each year in accordance with paragraph 8(b) of the financial procedures and to pay promptly and in full, for each of the years 1998 and 1999, the contributions required to finance expenditures approved under paragraph 1 [and 4] above, as offset by estimated contributions noted under the third paragraph of the preamble to this decision, and the contributions which may result from the decision of the General Assembly referred to in paragraph 3 above;

9. *Takes note* of the funding estimates for the Trust Fund for Participation in the United Nations Framework Convention on Climate Change Process and the Trust Fund for Supplementary Activities under the United Nations Framework Convention on Climate Change specified by the Executive Secretary and included in table 7 below, and *invites* Parties to make contributions to these funds;

10. *Requests* the Executive Secretary to report to the Conference of the Parties at its fourth session on income and budget performance, and to propose any adjustments that might be needed in the Convention budget for the biennium 1998-1999.

Table 1 Programme budget for the biennium 1998-1999 (US$ thousand)

Expenditures	**1998**	**1999**
I Programmes		
Executive Direction and Management	621.3	642.8
Science and Technology	2,223.1	2,779.4
Implementation	2,333.6	2,553.0
Conference and Information Support	1,500.1	1,901.2
Resources, Planning and Coordination	1,599.5	1,807.6
Subtotal (I)	8,277.6	9,684.0
II Payments to the United Nations		
Overhead charge[a]	1,076.1	1,258.9
Subtotal (II)	1,076.1	1,258.9
III Working capital reserve[b]	77.0	131.9
Subtotal (III)	77.0	131.9
Total Expenditure Lines (I+II+III)	9,430.7	11,074.8
Income		
I Contribution from the host Government	887.6	887.6
Total Income	887.6	887.6
NET TOTAL	8,543.1	10,187.2

[a] Standard 13 per cent applied by the United Nations for administrative support.

[b] In accordance with paragraph 14 of the financial procedures (see decision 15/CP.1). This will bring the level of the working capital reserve to $907,100 in 1998 and $1,000,400 in 1999 (see paragraphs 17 to 19 of the financial procedures).

Table 2. Programme budget staffing table 1998-1999

	1998	1999
A. Professional category and above		
Executive Secretary	1	1
D-2	2	2
D-1	3.33	4
P-5	5.75	6
P-4	7.5	8
P-3	9	11
P-2	4.25	5
Total A	32.83	37
B. General Service category	20.5	22
Total B	20.5	22
TOTAL (A+B)	53.33	59

Table 3. Resource requirements for the conference servicing contingency (US$ thousand)

Item of expenditure	1998	1999
I. Meeting servicing[c]	419.4	431.5
II. Documentation[d]	698.5	737.4
III. Other requirements[e]	707.5	728.1
IV. Travel of staff to meetings[f]	265.5	265.5
V. Miscellaneous[g]	10.5	10.5
VI. Contingencies and exchange rate fluctuation	63.0	65.2
SUBTOTAL	2,164.4	2,238.2
VII. Overhead charge[h]	281.4	291.0
VIII. Working Capital Reserve[i]	203.0	6.9
TOTAL	2,648.8	2,536.1

Table 4. Staffing requirements for the conference servicing contingency

	1998	1999
A. Professional category and above		
P-4	1	1
Total A	1	1
B. General Service category	4	4
Total B	4	4
TOTAL (A+B)	5	5

[c] Includes interpretation and meeting room staff.

[d] Includes revision, translation, typing, reproduction and distribution of pre-, in- and post-session documentation.

[e] Includes remote translation requirements, key supervisory staff, freight, communications.

[f] Includes travel of interpreters and key supervisory staff, including planning missions.

[g] Includes estimated cost of initial stock of meeting stationery and supplies.

[h] Standard 13 per cent applied by the United Nations for administrative support.

[i] In accordance with paragraph 14 of the financial procedures. The 1998 amount has been calculated as 8.3 per cent of the subtotal of I-VII; the 1999 amount has been calculated as the amount required to bring the carried-over 1998 reserve to 8.3 per cent of the subtotal of I-VII for 1999.

Table 5. Resource requirements for the post-Kyoto contingency (US$ thousand)

Item of expenditure		1998	1999
A.	Staff costs		
	Posts	165.5	340.5
	Overtime	2.2	4.5
B.	Consultants	54.0	54.0
C.	Travel on official business	20.5	45.5
SUBTOTAL		242.2	444.5
Overhead charge		31.5	57.8
Cash reserve		22.7	41.7
TOTAL		296.4	544.0

Table 6. Staffing requirements for the post-Kyoto contingency

		1998	1999
A.	Professional category and above		
	D-1	0.5	1
	P-3	0.5	1
Total A		1	2
B.	General Service category	0.5	1
Total B		0.5	1
TOTAL (A+B)		1.5	3

Table 7. Summary of other voluntary funding resource estimates for the biennium 1998-1999 (US$ thousand)

Proposed source of funding	1998	1999
Trust Fund for Participation in the UNFCCC Process	2,256.1	2,324.4
Trust Fund for Supplementary Activities	2,062.6	2,086.2
TOTAL	4,318.7	4,410.6

3. **Decision --/CP.3**
Volume of documentation

The Conference of the Parties,

Recalling its decision 17/CP.2, paragraph 2, whereby it requested the Executive Secretary to submit to the Subsidiary Body for Implementation, at its fifth session, further options for reducing the cost of documentation for the meetings of the Conference of the Parties and its subsidiary bodies,

1. *Takes note* of the efforts of the Convention secretariat to reduce the volume of documentation, as indicated in paragraphs 9 and 10 of document FCCC/SBI/1997/12 on volume of documentation;

2. *Requests* the Executive Secretary to explore with the United Nations the possibility of ensuring unrestricted access to all language versions of the documents of the United Nations Framework Convention on Climate Change that the United Nations makes available on its optical disk system through a restricted page on the World Wide Web;

3. *Invites* the Parties:

(a) To limit the volume of their submissions for circulation to Convention bodies, including those that do not require translation;

(b) To focus the content of submissions on material pertinent to the forthcoming sessions of the subsidiary bodies and to seek to avoid repetition of previously presented statements;

(c) To limit their requests for numbers of hard copies of documents;

(d) To limit the requests for documents that need to be translated;

(e) To schedule the delivery of documents in a timely manner that corresponds to the capacity of the Convention bodies to consider them;

4. *Notes* the intention of the Executive Secretary to advise presiding officers on the feasibility of producing, in a timely manner, the documentation envisaged in the conclusions of subsidiary bodies, before those conclusions are adopted.

Draft decisions recommended by the SBI at its seventh session

4. **Decision --/CP.3**

Communications from Parties included in Annex I to the Convention

The Conference of the Parties,

Recalling the relevant provisions of the United Nations Framework Convention on Climate Change, its decision 2/CP.1 on review of first communications from the Parties included in Annex I to the Convention, decision 3/CP.1 on preparation and submission of national communications from the Parties included in Annex I to the Convention, decision 4/CP.1 on methodological issues and decision 9/CP.2 on the guidelines, schedule and process for consideration of communications from Parties included in Annex I to the Convention,

Having considered the relevant recommendations of the Subsidiary Body for Scientific and Technological Advice and those of the Subsidiary Body for Implementation,

1. *Calls upon* the Parties included in Annex I to the Convention (Annex I Parties), when submitting annually national greenhouse gas inventories, to follow the relevant parts of the revised UNFCCC guidelines for the preparation of national communications by Annex I Parties, as well as the relevant conclusions of the fourth session of the Subsidiary Body for Scientific and Technological Advice;

2. *Requests* the Convention secretariat:

(a) To prepare a full compilation and synthesis of second national communications from Annex I Parties for consideration at its fourth session;

(b) To collect, process and publish, on a regular basis, national greenhouse gas inventories submitted annually by Annex I Parties in accordance with decision 9/CP.2. In those years when a report of the compilation and synthesis of national communications is prepared inventory data should be part of that report. Publication of inventory data may be accompanied by relevant documentation prepared by the secretariat, for example, on evaluating compliance with the Intergovernmental Panel on Climate Change guidelines or addressing methodological or other issues related to reporting greenhouse gas emissions. It may also include or refer to relevant data from authoritative sources;

3. *Decides* that:

(a) In-depth reviews of second national communications from Annex I Parties should, as a general rule, include visits of review teams co-ordinated by the secretariat, based on the schedule of these reviews and on a visit programme agreed between the host countries and the secretariat. Parties concerned are urged to submit their comments on the draft in-depth review

reports produced by the review teams, if possible not later than eight weeks following receipt of the drafts.

(b) Executive summaries of national communications will be published in their original language as official UNFCCC documents, and also translated into the other official languages of the United Nations if they are less than 15 pages long in standard format. Full texts of the in-depth review reports will be published as official UNFCCC documents and translated into the other official languages of the United Nations.

5. **Decision --/CP.3**

Review of the financial mechanism

The Conference of the Parties

1. *Takes note of* the review process undertaken by the Subsidiary Body for Implementation in accordance with decision 11/CP.2;

2. *Decides* to continue the review process through the Subsidiary Body for Implementation, in accordance with the criteria established in the guidelines adopted by the Subsidiary Body for Implementation at its fifth session;

3. *Reaffirms* its decision 9/CP.1;

4. *Requests* the secretariat to report to the Subsidiary Body for Implementation in accordance with paragraph 2 above.

6. **Decision --/CP.3**

Annex to the Memorandum of Understanding on the determination of funding necessary and available for the implementation of the Convention

The Conference of the Parties

1. *Takes note* of the approval by the Council of the Global Environment Facility of the annex to the Memorandum of Understanding between the Conference of the Parties and the Council of the Global Environment Facility.

2. *Decides* to approve the annex to the Memorandum of Understanding, thereby bringing it into force.

7. **Decision .../CP.3**

Fourth session of the Conference of the Parties

The Conference of the Parties,

Recalling Article 7.4 of the United Nations Framework Convention on Climate Change,

Taking note that no offer to host the fourth session of the Conference of the Parties has been received,

1. *Decides* that the fourth session of the Conference of the Parties shall be held in Bonn, Germany, in November 1998;

2. *Requests* the Executive Secretary to initiate the preparations for the fourth session and make all necessary arrangements.

8. **Decision ... /CP.3**

Financial performance of the Convention in the biennium 1996-1997

The Conference of the Parties,

Recalling its decision 16/CP.2, paragraph 14, whereby it requested the Executive Secretary to submit to the Conference of the Parties a further report on financial performance for the biennium 1996-1997, and the financial rules for the Conference of the Parties,

1 *Takes note* of the information provided in documents FCCC/SBI/1997/18 and FCCC/SBI/1997/INF.7;

2 *Approves* the creation of a new trust fund for the special annual contribution of DM 3.5 million from the Government of Germany to finance events in Germany, made in accordance with the bilateral arrangements between the Government of Germany and the Convention secretariat, and *requests* the Executive Secretary to request the Secretary-General of the United Nations to establish the new trust fund, to be managed by the Executive Secretary;

3 *Urges* Parties that have still not paid their 1996 and/or 1997 contributions to the core budget to do so without delay;

4 *Requests* the Executive Secretary to submit to the Conference of the Parties at its fourth session, through the Subsidiary Body for Implementation, as appropriate, a final report on financial performance in the biennium 1996-1997, including audited financial statements, and an initial report on financial performance in 1998;

5 *Approves* transfers between the main appropriation lines to cover over-expenditures, for the Policy-making organs programme and the Implementation and planning programme, in excess of the 15 per cent transfer within each of the main appropriation lines that the Executive Secretary is at present authorized to make (see decision 17/CP.1, paragraph 5).

9. **Decision .../CP.3**

Arrangements for administrative support to the Convention secretariat

The Conference of the Parties,

Recalling the arrangements proposed by the Secretary-General of the United Nations for administrative support to the Convention secretariat (FCCC/CP/1995/5/Add.4), provisionally accepted by the Conference of the Parties at its first session in its decision 14/CP.1,

1. *Takes note* of the information contained in document FCCC/SBI/1997/INF.2;

2. *Requests* the Executive Secretary to continue his discussions with the United Nations regarding administrative arrangements for the Convention, and to inform the Conference of the Parties, through the Subsidiary Body for Implementation, as appropriate, of any significant developments.

Annex II

List of documents before the Subsidiary Body for Implementation at its seventh session

Documents prepared for the session

FCCC/SBI/1997/17 and Add.1	Provisional agenda and annotations
FCCC/SBI/1997/18	Financial performance of UNFCCC: Contributions and expenditures in 1996-1997
FCCC/SBI/1997/19	Communications from Parties included in Annex I to the Convention: First compilation and synthesis of second communications
FCCC/SBI/1997/19/Add.1	Addendum: Tables of inventories of anthropogenic emissions and removals and projections up to the year 2020
FCCC/SBI/1997/20	Experience with the review of first national communications from Annex I Parties
FCCC/SBI/1997/INF.3	Communications from Parties not included in Annex I to the Convention: Progress Report
FCCC/SBI/1997/INF.4	Communications from Parties included in Annex I to the Convention: Updated information on greenhouse gas emissions and projections
FCCC/SBI/1997/INF.6	Status report on the review of first national communications of Annex I Parties and the submission of second national communications
FCCC/SBI/1997/INF.7	Financial performance of UNFCCC: Contributions and expenditures in 1996-1997. Supplementary tables
FCCC/SBI/1997/MISC.7	Mechanisms for consultation with non-governmental organizations (NGOs)
FCCC/SBI/1997/MISC.8	Views of Parties on a process for considering non-Annex I communications
FCCC/SBI/1997/MISC.9	Financial Mechanism: Review process referred to in decision 9/CP.1. Compilation of submissions by Parties

Other documents for the session

FCCC/SBI/1997/6	Report of the Subsidiary Body for Implementation on the work of its fifth session, Bonn, 25 February - 6 March 1997
FCCC/SBI/1997/8	Financial mechanism: Review process referred to in decision 9/CP.1. Synthesis report
FCCC/SBI/1997/13	Communications from Parties not included in Annex I to the Convention: Information on the submission of initial national communications
FCCC/SBI/1997/14	Mechanisms for consultations with non-governmental organizations (NGOs)
FCCC/SBI/1997/14/Add.1	Addendum: The participation of NGOs in the Convention process
FCCC/SBI/1997/15	Amendments to the Convention or its Annexes: Letters from the Islamic Republic of Pakistan, the Azerbaijan Republic, the Netherlands (on behalf of the European Community and its member States) and Kuwait proposing amendments to the Convention or its Annexes
FCCC/SBI/1997/16	Report of the Subsidiary Body for Implementation on the work of its sixth session, Bonn, 28 July - 5 August 1997
FCCC/SBI/1997/INF.2	Review of administrative arrangements
FCCC/SBI/1997/MISC.3 and Add.1	Financial mechanism: Review process referred to in decision 9/CP.1. Compilation of submissions by Parties
FCCC/SB/1997/6	Communications from Parties included in Annex I to the Convention: Inventory and projection data
FCCC/CP/1996/15/Add.1	Report of the Conference of the Parties on its second session, held at Geneva from 8 - 19 July 1996. Part two
FCCC/CP/1997/MISC.1	Report of the Global Environment Facility to the Conference of the Parties at its third session
FCCC/SBSTA/1997/4	Report of the Subsidiary Body for Scientific and Technological Advice on the work of its sixth session, Bonn, 28 July - 5 August 1997

FCCC/SBSTA/1997/12 and Corr. 1 and 2, and Add 1	Activities implemented jointly under the pilot phase: Synthesis report on activities implemented jointly
FCCC/SBSTA/1997/13	Second communications from Parties included in Annex I to the Convention: Activities of Parties included in Annex II related to transfer of technology
FCCC/SBSTA/1997/INF.3	Activities implemented jointly under the pilot phase
FCCC/SBSTA/1997/INF.5	Development and transfer of technology: Proposal from a Party: Draft decision regarding the transfer of technology

Appendix

Co-chairs' draft compilation on the process for consideration of communications from Parties not included in Annex I to the Convention

[The Conference of the Parties,

Recalling Articles [4.1, 7.2, 9.2, 10.2,] 12.1, 12.5, 12.7 of the United Nations Framework Convention on Climate Change,

Recalling also its decisions 4/CP.1, 7/CP.1, 3/CP.2, 8/CP.1 and 10/CP.2,

Noting that each developing country Party shall make its initial communication within three years of entry into force of the Convention for that Party, or of the availability of financial resources in accordance with Article 4.3 and that Parties that are least developed may make their submission at their discretion,

Noting the differentiated timetable for the submission of the initial national communications from Parties not included in Annex I [because of the different timing of the provision of funding from the interim financial mechanism,] [and, consequently, the need for flexibility in its consideration of these communications,]

1. *Decides* that the information contained in the initial communications of Parties not included in Annex I will be considered in a facilitative, non-confrontational, open and transparent manner to ensure that the COP has accurate, consistent and relevant information at its disposal to assist it in carrying out its responsibilities;

[2. *Decides* that the process of consideration shall:

(a) Assist the secretariat's determination of the [informational, technical and financial] needs of non-Annex I Parties [for the preparation of their national communications in accordance with Article 8.2(c).] [related to implementation of commitments; and in particular those associated with proposed projects and response measures under Article 4.];

(b) Seek to enhance the comparability of and focus on non-Annex I Party national communications;

(c) Provide a technical assessment of progress in implementation of the Convention; and

(d) Assess quantitative and qualitative information for consistency with applicable guidelines adopted by Parties;]

[3. *Decides* that each national communication submitted by a non-Annex I Party should be subject to an [in-depth] [technical] [assessment] [review] within one year of receipt by the secretariat, such assessment should be carried out by expert teams, under the authority of the Subsidiary Body for Implementation;

(a) That the expert teams should conduct their work through regional workshops to provide for expert discussion of information contained in national communications, and through voluntary, in-country visits where helpful;

(b) That each expert team should produce a report on each [assessment] [review], written in [an objective] [non-confrontational] manner, and submitted to the SBI;]

[*Decides* that the initial communications from non-Annex I Parties shall be considered on an annual or biennial basis;]]

4 *Requests* the secretariat:

(a) To facilitate the provision of assistance to non-Annex I Parties in the preparation of national communications, in accordance with Article 8.2(c);

(b) To compile and synthesize the information contained in national communications from non-Annex I Parties [annually] for consideration by the SBI, [in accordance with Article 10.2(a)];

(c) To co-ordinate and facilitate the review/consideration of national communications from Parties not included in Annex I, [including the organization of in-depth reviews] [and regional workshops];

(d) [To select, under the guidance of the Chairs of the subsidiary bodies, members of the expert teams from names nominated by Parties and intergovernmental organizations to assist in the review/consideration;]

(e) [To arrange and host regional workshops to provide for expert [discussion] [review] of information contained in national communications;]

(f) [To note instances where in-country expert visits would be beneficial to promote greater understanding of a Party's specific national circumstances, inventory data or efforts to respond to climate change;]

(g) [To arrange, upon request by a Party, for voluntary, in-country expert visits for individual consideration of national communications;]

(h) [To make available, with the permission of the relevant Party, the national communication and the report of the expert's review to the Council of the Global Environmental Facility, with the request that they take particular note of this information in their consideration of project proposals from the relevant Party;]

(i) [To compile and make available to Parties, a compendium of projects and related information submitted by Parties not included in Annex I in accordance with Article 12.4;]

(j) [To prepare a report on the application of guidelines for the preparation of initial communications from Parties not included in Annex I with a view to further enhancing the accuracy, completeness, comparability and focus on national communications;]

5. *Requests* the Subsidiary Body on Implementation to consider the information contained in national communications:

[(a) To assist the COP in assessing the overall aggregated effect of the steps taken by the Parties, in accordance with Article 10.2; and]

[(b) To provide appropriate guidance to the Global Environment Facility;]

[6. *Requests* the Subsidiary Body for Scientific and Technological Advice:

[(a) To further refine the guidelines for the preparation of the national communications from Parties not included in Annex I to the Convention; and]

[(b) To prepare scientific assessments on the effects of measures taken in the implementation of the Convention, in accordance with Article 9.2(b);]

[7. *Invites* Parties and intergovernmental organizations to nominate experts to assist in the consideration of national communications;]

[8. *Urges* Parties not included in Annex I to the Convention to submit their national communications at their earliest convenience.]

[9. *Requests* non-Annex I Parties to submit to the secretariat national inventory data on a [regular] basis.]]

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